



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
--------------------	---------------------	-----------------------	------------------------

10/036,332

12/24/2001

Wang

12860E-PT CTP

12860-E CIP

CONFIRMATION NO. 3250

## FORMALITIES LETTER



\*OC000000007393759\*

Intellectual Property Services  
Battelle Memorial Institute  
Pacific Northwest Division  
P.B. Box 999  
Richland, WA 99352



DDO: 3/30/02

Docket ☒ N sm  
Database ☒ N sm  
Debt ☒ Y sm  
Number N/A

Date Mailed: 01/30/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/01/2002 SDIRETA1 00000015 021275 10036332

FILED UNDER 37 CFR 1.53(b)

01 FD:101 740.00 CH  
02 FD:103 130.00 CH  
03 FD:103 198.00 CH  
04 FD:102 252.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$450.
  - \$198 for 11 total claims over 20.
  - \$252 for 3 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1320.

*A copy of this notice **MUST** be returned with the reply.*

ST. Peters

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED  
FEB 07 2002  
I.P. SERVICES



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Yong Wang, et al. ) Art Unit: 1754  
)  
Serial No: 10/036,332 ) Examiner:  
)  
Filed: December 24, 2001 ) File No: 12860-E CIP  
)  
For: CARBON NANOTUBE- ) Date: March 13, 2002  
CONTAINING STTUCTURES, )  
METHODS OF MAKING, AND )  
PROCESSES USING SAME )

RESPONSE TO NOTICE TO FILE MISSING PARTS

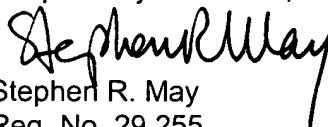
Box MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Responsive to the Notice to File Missing Parts of Application Filing Date Granted dated  
January 30, 2002, please find enclosed:

- (a) a copy of form PTO-FORMALITITES LETTER (part 2),
- (b) an executed Combined Declaration and Power of Attorney,
- (c) an Assignment,
- (d) a Request for Correction of Filing Receipt,
- (e) an Information Disclosure Statement with References,
- (f) a return receipt postcard

A fee sheet is also enclosed authorizing payment of the fee amounting to \$1320.00 by charging  
deposit account 02-1275.

Respectfully submitted,



Stephen R. May  
Reg. No. 29,255

Stephen R. May (K1-53)  
Intellectual Property Services  
Battelle Memorial Institute  
Pacific Northwest Division  
P.O. Box 999  
Richland, WA 99352  
(509) 375-2387



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Initial Application of:

Yong Wang, et al.

Serial No: 10/036,332

Filed: December 24, 2001

For: CARBON NANOTUBE-  
CONTAINING STRUCTURES,  
METHODS OF MAKING, AND  
PROCESSES USING SAME

)  
)  
) Art Unit: 1754  
)  
) Examiner:  
)  
) File No: 12860-E CIP  
)  
) Date: March 13, 2002  
)  
)  
)

CERTIFICATE OF MAILING

Box MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

The undersigned hereby certifies that the attached:

- ☒ Response to Notice to File Missing Parts
- ☒ PTO-FORMALITIES LETTER
- ☒ Request for Correction of Filing Receipt
- ☒ Fee Transmittal (2 ea)
- ☒ Assignment / Transmittal
- ☒ Combined Declaration and Power of Attorney
- ☒ Information Disclosure Statement with References

are being deposited with the United States Postal Service as:

- ☒ First Class Mail
- ☐ Express Mail – Label # \_\_\_\_\_

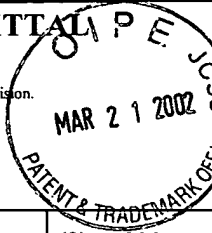
in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on the date set forth below.

Rebecca B. Rupp  
Signature

March 13, 2002  
Date Deposited

Rebecca B. Rupp (K1-53)  
Intellectual Property Services  
Battelle Memorial Institute  
Pacific Northwest Division  
P.O. Box 999  
Richland, WA 99352  
(509) 375-2536

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>FEE TRANSMITTAL</b> <b>For FY 2002</b> Patent fees are subject to annual revision.		<b>Complete If Known</b>	
		Application Number	10/036,332
		Filing Date	Dec. 24, 2001
		First Named Inventor	Wang
		Examiner Name	not yet assigned
		Group/Art Unit	1754
TOTAL AMOUNT OF PAYMENT		Attorney Docket No.	12860E-CIP
(\$ ) 1320			

<b>METHOD OF PAYMENT (check one)</b> 1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 02-1275 Deposit Account Name: Battelle Memorial Institute - PND <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status 2. Payment Enclosed: <input type="checkbox"/> check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		<b>FEE CALCULATION (continued)</b>																																																																																																																																																																																																	
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<b>SUBMITTED BY</b> Name (Print/Type) Stephen R. May		Registration No. 29,255 (Attorney/Agent)		Telephone (509) 375-2387	
Signature <i>Stephen R. May</i>		Date 13 March 2002			

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Yong Wang, et al.

Serial No: 10/036,332

Filed: December 24, 2001

For: CARBON NANOTUBE-  
CONTAINING STTUCTIONS,  
METHODS OF MAKING, AND  
PROCESSES USING SAME



) Art Unit: 1754

) Examiner:

) File No: 12860-E CIP

) Date: March 13, 2002

REQUEST FOR CORRECTION OF FILING RECEIPT

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

The Filing Receipt and Notice to File Missing Parts for the above referenced patent application correctly reflects the Attorney Docket Number as 12860E-1 as originally submitted. We have since changed the Attorney Docket Number to 12860-E CIP.

We respectfully request that you please change the Attorney Docket Number to reflect 12860-E CIP.

Respectfully Submitted,

Stephen R. May  
Reg. No. 29,255

Stephen R. May (K1-53)  
Intellectual Property Services  
Battelle Memorial Institute  
Pacific Northwest Division  
P.O. Box 999  
Richland, WA 99352  
(509) 375-2387



## UNITED STATES PATENT AND TRADEMARK OFFICE

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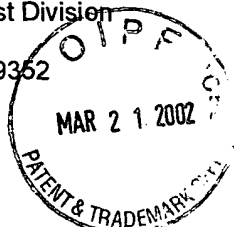
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Battelle Memorial Institute  
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## Applicant(s)

Wang, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

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Early Publication Request: No

## Title

Carbon nanotube-containing structures, methods of making, and processes using same

Preliminary Class

423

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